

[Handwritten signature]



PATENT
Customer No. 22,852
Attorney Docket No. 07528.0010-01000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)	
)	
Inventor: Richard F. SCHROEDER et al.)	Group Art Unit: 3766
)	
Application No.: 10/762,513)	Examiner: F. P. Oropeza
)	
Filed: January 23, 2004)	
)	
For: METHODS AND DEVICES FOR)	Confirmation No.: 5243
IMPROVING MITRAL VALVE)	
FUNCTION)	

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(c)

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(c), Applicant brings to the attention of the Examiner the documents listed on the attached Form PTO/SB/08. This Information Disclosure Statement is being filed after the events recited in Section 1.97(b) but, to the undersigned's knowledge, before the mailing date of either a Final action, Quayle action, or a Notice of Allowance. Under the provisions of 37 C.F.R. § 1.97(c), this Information Disclosure Statement is accompanied by a fee of \$180.00 as specified by Section 1.17(p).

Copies of the listed foreign and non-patent literature documents are attached.
Copies of the U.S. patent publications are not enclosed.

09/13/2007 AWONDAF1 00000027 10762513

01 FC:1806

180.00 OP

Applicant respectfully requests that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

The following remarks address the non-English language documents:

1. **DE 198 26 675 A1** - An English language Derwent Abstract of this document is provided herewith.
2. **DE 199 47 885 A1** - An English language Derwent Abstract of this document is provided herewith.
3. **DE 296 19 294 U1** - An English language Derwent Abstract of this document is provided herewith.
4. **DE 298 24 017 U1** - An English language Derwent Abstract of this document is provided herewith.
5. **DE 36 14 292 C1** - An English language Derwent Abstract of this document is provided herewith.
6. **DE 42 34 127 A1** - An English language Derwent Abstract of this document is provided herewith.
7. **WO 97/14286 A1** - An English language Abstract is provided on the title page of the document.
8. **WO 98/58598 A1** - An English language Abstract is provided on the title page of the document.
9. **WO 99/44969 A1** - An English language Abstract is provided on the title page of the document.
10. **WO 00/27304 A1** - An English language Abstract is provided on the title page of the document.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claims in the application and Applicant determines that the cited documents do not constitute "prior art" under United States law, Applicant reserves the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

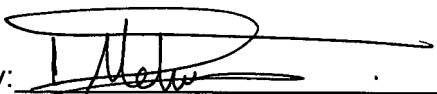
Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

Please grant any extensions of time required to enter this Statement and charge any additional required fees to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,
GARRETT & DUNNER, L.L.P.

Dated: September 12, 2007

By: 
Dinesh N. Melwani
Reg. No. 60,670

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

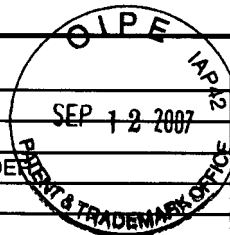
1

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

**U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS**

Examiner Initials	Cite No. ¹	Document Number	Issue or Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-RE 34,021	Aug 1992	Mueller et al.	
		US-963,899	Jul 1910	Kistler	
		US-3,019,790	Feb 1962	Militana	
		US-3,656,185	Apr 1972	Carpentier	
		US-3,980,086	Sep 1976	Kletschka et al.	
		US-4,035,849	Jul 1977	Angell et al.	
		US-4,055,861	Nov 1977	Carpentier et al.	
		US-4,192,293	Mar 1980	Asrican	
		US-4,217,665	Aug 1980	Bex et al.	
		US-4,261,342	Apr 1981	Aranguren Duo	
		US-4,300,564	Nov 1981	Furihata	
		US-4,306,319	Dec 1981	Kaster	
		US-4,343,048	Aug 1982	Ross et al.	
		US-4,372,293	Feb 1983	Vijil-Rosales	
		US-4,409,974	Oct 1983	Freedland	
		US-4,536,893	Aug 1985	Parravicini	
		US-4,579,120	Apr 1986	MacGregor	
		US-4,592,342	Jun 1986	Salmasian	
		US-4,629,459	Dec 1986	Ionescu et al.	
		US-4,690,134	Sep 1987	Snyders	
		US-4,705,040	Nov 1987	Mueller et al.	
		US-4,936,857	Jun 1990	Kulik	
		US-4,944,753	Jul 1990	Burgess et al.	
		US-4,960,424	Oct 1990	Grooters	
		US-4,997,431	Mar 1991	Isner et al.	
		US-5,061,277	Oct 1991	Carpentier et al.	
		US-5,104,407	Apr 1992	Lam et al.	
		US-5,106,386	Apr 1992	Isner et al.	
		US-5,131,905	Jul 1992	Grooters	
		US-5,156,621	Oct 1992	Navia et al.	
		US-5,169,381	Dec 1992	Snyders	
		US-5,192,314	Mar 1993	Daskalakis	
		US-5,250,049	Oct 1993	Michael	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-5,256,132	Oct 1993	Snyders	
	US-5,258,015	Nov 1993	Li et al.	
	US-5,284,488	Feb 1994	Sideris	
	US-5,300,087	Apr 1994	Knoepfler	
	US-5,312,642	May 1994	Chesterfield et al.	
	US-5,360,444	Nov 1994	Kusuhara	
	US-5,376,112	Dec 1994	Duren	
	US-5,383,840	Jan 1995	Heilman et al.	
	US-5,385,528	Jan 1995	Wilk	
	US-5,389,096	Feb 1995	Aita et al.	
	US-5,417,709	May 1995	Slater	
	US-5,433,727	Jul 1995	Sideris	
	US-5,445,600	Aug 1995	Abdulla	
	US-5,450,860	Sep 1995	O'Connor	
	US-5,452,733	Sep 1995	Sterman et al.	
	US-5,458,574	Oct 1995	Machold et al.	
	US-5,496,305	Mar 1996	Kittrell et al.	
	US-5,509,428	Apr 1996	Dunlop	
	US-5,522,884	Jun 1996	Wright	
	US-5,533,958	Jul 1996	Wilk	
	US-5,593,424	Jan 1997	Northrup III	
	US-5,584,803	Dec 1996	Stevens et al.	
	US-5,571,215	Nov 1996	Sterman et al.	
	US-5,607,471	Mar 1997	Seguin et al.	
	US-5,655,548	Dec 2003	McClure, Jr. et al.	
	US-5,665,092	Sep 1997	Mangiardi et al.	
	US-5,674,279	Oct 1997	Wright et al.	
	US-5,682,906	Nov 1997	Sterman et al.	
	US-5,702,343	Dec 1997	Alferness	
	US-5,713,954	Feb 1998	Rosenberg et al.	
	US-5,718,725	Feb 1998	Sterman et al.	
	US-5,738,649	Apr 1998	Macoviak	
	US-5,755,783	May 1998	Stobie et al.	
	US-5,758,663	Jun 1998	Wilk et al.	
	US-5,766,234	Jun 1998	Chen et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 3 of 19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-5,776,189	Jul 1998	Khalid et al.	
	US-5,800,334	Sep 1998	Wilk	
	US-5,800,528	Sep 1998	Lederman et al.	
	US-5,800,531	Sep 1998	Cosgrove et al.	
	US-5,807,384	Sep 1998	Mueller	
	US-5,814,097	Sep 1998	Sterman et al.	
	US-5,824,066	Oct 1998	Gross	
	US-5,824,069	Oct 1998	Lemole	
	US-5,840,059	Nov 1998	March et al.	
	US-5,849,005	Dec 1998	Garrison et al.	
	US-5,855,601	Jan 1999	Bessler et al.	
	US-5,855,614	Jan 1999	Stevens et al.	
	US-5,865,791	Feb 1999	Whayne et al.	
	US-5,876,436	Mar 1999	Vanney et al.	
	US-5,888,240	Mar 1999	Carpentier et al.	
	US-5,902,229	May 1999	Tsitlik et al.	
	US-5,928,281	Jul 1999	Huynh et al.	
	US-5,944,738	Aug 1999	Amplatz et al.	
	US-5,957,977	Sep 1999	Melvin	
	US-5,961,440	Oct 1999	Schweich, Jr. et al.	
	US-5,961,549	Oct 1999	Nguyen et al.	
	US-5,961,539	Oct 1999	Northup III et al.	
	US-5,967,990	Oct 1999	Thierman et al.	
	US-5,971,910	Oct 1999	Tsitlik et al.	
	US-5,971,911	Oct 1999	Wilk	
	US-5,972,022	Oct 1999	Huxel	
	US-5,972,030	Oct 1999	Garrison et al.	
	US-5,984,857	Nov 1999	Buck et al.	
	US-5,984,917	Nov 1999	Fleischman et al.	
	US-5,999,678	Dec 1999	Murphy-Chutorian et al.	
	US-6,001,126	Dec 1999	Nguyen-Thien-Nhon	
	US-6,019,722	Feb 2000	Spence et al.	
	US-6,024,096	Feb 2000	Buckberg	
	US-6,024,756	Feb 2000	Huebsch et al.	
	US-6,045,497	Apr 2000	Schweich, Jr. et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

4

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-6,050,936	Apr 2000	Schweich, Jr. et al.	
	US-6,059,715	May 2000	Schweich, Jr. et al.	
	US-6,071,303	Jun 2000	Laufer	
	US-6,077,214	Jun 2000	Mortier et al.	
	US-6,077,218	Jun 2000	Alferness	
	US-6,079,414	Jun 2000	Roth	
	US-6,085,754	Jul 2000	Alferness et al.	
	US-6,086,532	Jul 2000	Panescu et al.	
	US-6,095,968	Aug 2000	Snyders	
	US-6,102,944	Aug 2000	Huynh et al.	
	US-6,110,100	Aug 2000	Talpade	
	US-6,113,536	Sep 2000	Aboul-Hosn et al.	
	US-6,117,159	Sep 2000	Huebsch et al.	
	US-6,120,520	Sep 2000	Saadat et al.	
	US-6,123,662	Sep 2000	Alferness et al.	
	US-6,125,852	Oct 2000	Stevens et al.	
	US-6,126,590	Oct 2000	Alferness	
	US-6,129,758	Oct 2000	Love	
	US-6,132,438	Oct 2000	Fleischman et al.	
	US-6,143,025	Nov 2000	Stobie et al.	
	US-6,155,968	Dec 2000	Wilk	
	US-6,155,972	Dec 2000	Nauertz et al.	
	US-6,162,168	Dec 2000	Schweich, Jr. et al.	
	US-6,165,119	Dec 2000	Schweich, Jr. et al.	
	US-6,165,120	Dec 2000	Schweich, Jr. et al.	
	US-6,165,121	Dec 2000	Alferness	
	US-6,165,122	Dec 2000	Alferness	
	US-6,165,183	Dec 2000	Kuehn et al.	
	US-6,169,922 B1	Jan 2001	Alferness et al.	
	US-6,174,279 B1	Jan 2001	Girard	
	US-6,174,332 B1	Jan 2001	Loch et al.	
	US-6,179,791 B1	Jan 2001	Krueger	
	US-6,182,664 B1	Feb 2001	Cosgrove	
	US-6,183,411 B1	Feb 2001	Mortier et al.	
	US-6,183,512 B1	Feb 2001	Howanec, Jr. et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

5

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-6,190,408 B1	Feb 2001	Malvin	
	US-6,193,648 B1	Feb 2001	Krueger	
	US-6,197,053 B1	Mar 2001	Cosgrove et al.	
	US-6,206,004 B1	Mar 2001	Schmidt et al.	
	US-6,206,820 B1	Mar 2001	Kazi et al.	
	US-6,210,432 B1	Apr 2001	Solem et al.	
	US-6,217,610 B1	Apr 2001	Carpentier et al.	
	US-6,221,013 B1	Apr 2001	Panescu et al.	
	US-6,221,103 B1	Apr 2001	Melvin	
	US-6,221,104 B1	Apr 2001	Buckberg et al.	
	US-6,224,540 B1	May 2001	Lederman et al.	
	US-6,230,714 B1	May 2001	Alferness et al.	
	US-6,231,518 B1	May 2001	Grabek et al.	
	US-6,231,561 B1	May 2001	Frazier et al.	
	US-6,231,602 B1	May 2001	Carpentier et al.	
	US-6,238,334 B1	May 2001	Easterbrook, III et al.	
	US-6,241,654 B1	Jun 2001	Alferness	
	US-6,245,102 B1	Jun 2001	Jayaraman	
	US-6,245,105 B1	Jun 2001	Nguyen et al.	
	US-6,250,308 B1	Jun 2001	Cox	
	US-6,251,061 B1	Jun 2001	Hastings et al.	
	US-6,258,021 B1	Jul 2001	Wilk	
	US-6,258,023 B1	Jul 2001	Rogers et al.	
	US-6,260,552 B1	Jul 2001	Mortier et al.	
	US-6,260,820 B1	Jul 2001	Chowdhury	
	US-6,261,222 B1	Jul 2001	Schweich, Jr. et al.	
	US-6,264,602 B1	Jul 2001	Mortier et al.	
	US-6,269,819 B1	Aug 2001	Oz et al.	
	US-6,283,993 B1	Sep 2001	Cosgrove et al.	
	US-6,290,674 B1	Sep 2001	Roue et al.	
	US-6,293,906 B1	Sep 2001	Vanden Hoek et al.	
	US-6,309,370 B1	Oct 2001	Haim et al.	
	US-6,312,447 B1	Nov 2001	Grimes	
	US-6,314,322 B1	Nov 2001	Rosenberg	
	US-6,328,727 B1	Dec 2001	Frazier et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

6

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-6,331,157 B2	Dec 2001	Hancock	
	US-6,332,863 B1	Dec 2001	Schweich, Jr. et al.	
	US-6,332,864 B1	Dec 2001	Schweich, Jr. et al.	
	US-6,332,893 B1	Dec 2001	Mortier et al.	
	US-6,338,712 B2	Jan 2002	Spence et al.	
	US-6,343,605 B1	Feb 2002	Lafontaine	
	US-6,360,749 B1	Mar 2002	Jayaraman	
	US-6,361,545 B1	Mar 2002	Macoviak et al.	
	US-6,370,429 B1	Apr 2002	Alfermess et al.	
	US-6,375,608 B1	Apr 2002	Alfermess	
	US-6,379,366 B1	Apr 2002	Fleischman et al.	
	US-6,402,679 B1	Jun 2002	Mortier et al.	
	US-6,402,680 B2	Jun 2002	Mortier et al.	
	US-6,402,781 B1	Jun 2002	Langberg et al.	
	US-6,406,420 B1	Jun 2002	McCarthy et al.	
	US-6,406,422 B1	Jun 2002	Landesberg	
	US-6,409,759 B1	Jun 2002	Peredo	
	US-6,409,760 B1	Jun 2002	Melvin	
	US-6,416,459 B1	Jul 2002	Haindl	
	US-6,419,669 B1	Jul 2002	Frazier et al.	
	US-6,423,051 B1	Jul 2002	Kaplan et al.	
	US-6,425,856 B1	Jul 2002	Shapland et al.	
	US-6,432,039 B1	Aug 2002	Wardle	
	US-6,432,059 B2	Aug 2002	Hickey	
	US-6,436,088 B2	Aug 2002	Frazier et al.	
	US-6,439,237 B1	Aug 2002	Buckberg et al.	
	US-6,443,949 B2	Sep 2002	Altman	
	US-6,450,171 B1	Sep 2002	Buckberg et al.	
	US-6,458,100 B2	Oct 2002	Roue et al.	
	US-6,461,366 B1	Oct 2002	Seguin	
	US-6,478,729 B1	Nov 2002	Rogers et al.	
	US-6,482,146 B1	Nov 2002	Alfermess et al.	
	US-6,488,706 B1	Dec 2002	Solymar	
	US-6,494,825 B1	Dec 2002	Talpade	
	US-6,508,756 B1	Jan 2003	Kung et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

7

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-6,511,426 B1	Jan 2003	Hossack et al.	
	US-6,514,194 B2	Feb 2003	Schweich, Jr. et al.	
	US-6,520,904 B1	Feb 2003	Melvin	
	US-6,537,198 B1	Mar 2003	Vidlund et al.	
	US-6,537,203 B1	Mar 2003	Alfemess et al.	
	US-6,537,314 B2	Mar 2003	Langberg et al.	
	US-6,544,167 B2	Apr 2003	Buckberg et al.	
	US-6,544,180 B1	Apr 2003	Doten et al.	
	US-6,547,821 B1	Apr 2003	Taylor et al.	
	US-6,569,198 B1	May 2003	Wilson et al.	
	US-6,572,529 B2	Jun 2003	Wilk	
	US-6,582,355 B2	Jun 2003	Alfemess et al.	
	US-6,587,734 B2	Jul 2003	Okuzumi	
	US-6,589,160 B2	Jul 2003	Schweich, Jr. et al.	
	US-6,592,619 B2	Jul 2003	Melvin	
	US-6,595,912 B2	Jul 2003	Lau et al.	
	US-6,602,184 B2	Aug 2003	Lau et al.	
	US-6,612,978 B2	Sep 2003	Lau et al.	
	US-6,612,979 B2	Sep 2003	Lau et al.	
	US-6,616,684 B1	Sep 2003	Vidlund et al.	
	US-6,626,930 B1	Sep 2003	Allen et al.	
	US-6,629,534 B1	Oct 2003	St. Goar et al.	
	US-6,629,921 B1	Oct 2003	Schweich, Jr. et al.	
	US-6,645,139 B2	Nov 2003	Haindl	
	US-6,651,671 B1	Nov 2003	Donlon et al.	
	US-6,663,558 B2	Dec 2003	Lau et al.	
	US-6,682,474 B2	Jan 2004	Lau et al.	
	US-6,682,476 B2	Jan 2004	Alfemess et al.	
	US-6,685,627 B2	Feb 2004	Jayaraman	
	US-6,685,646 B2	Feb 2004	Cespedes et al.	
	US-6,689,048 B2	Feb 2004	Vanden Hoek et al.	
	US-6,695,768 B1	Feb 2004	Levine et al.	
	US-6,695,866 B1	Feb 2004	Kuehn et al.	
	US-6,701,929 B2	Mar 2004	Hussein	
	US-6,702,732 B1	Mar 2004	Lau et al.	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

8

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-6,702,826 B2	Mar 2004	Liddicoat et al.	
	US-6,709,456 B2	Mar 2004	Langberg et al.	
	US-6,712,804 B2	Mar 2004	Roue et al.	
	US-6,719,767 B1	Apr 2004	Kimblad	
	US-6,723,038 B1	Apr 2004	Schroeder et al.	
	US-6,730,016 B1	May 2004	Cox et al.	
	US-6,752,813 B2	Jun 2004	Goldfarb et al.	
	US-6,755,777 B2	Jun 2004	Schweich Jr. et al.	
	US-6,767,362 B2	Jul 2004	Schreck	
	US-6,769,434 B2	Aug 2004	Liddicoat et al.	
	US-6,776,754 B1	Aug 2004	Wilk	
	US-6,814,700 B1	Nov 2004	Mueller et al.	
	US-6,837,247 B2	Jan 2005	Buckberg et al.	
	US-6,846,296 B1	Jan 2005	Millbocker et al.	
	US-6,875,224 B2	Apr 2005	Grimes	
	US-6,876,887 B2	Apr 2005	Okuzumi	
	US-6,881,185 B2	Apr 2005	Vanden Hock et al.	
	US-6,887,192 B1	May 2005	Whayne et al.	
	US-6,893,392 B2	May 2005	Alfemess	
	US-6,896,652 B2	May 2005	Alfemess et al.	
	US-6,902,522 B1	Jun 2005	Walsh et al.	
	US-6,908,426 B2	Jun 2005	Shapland et al.	
	US-6,962,605 B2	Nov 2005	Cosgrove et al.	
	US-6,989,028 B2	Jan 2006	Lashinski et al.	
	US-6,997,865 B2	Feb 2006	Alfemess et al.	
	US-6,997,951 B2	Feb 2006	Solem et al.	
	US-7,011,682 B2	Mar 2006	Lashinski et al.	
	US-7,022,064 B2	Apr 2006	Alfemess et al.	
	US-7,025,719 B2	Apr 2006	Alfemess et al.	
	US-7,044,967 B1	May 2006	Solem et al.	
	US-7,056,280 B2	Jun 2006	Buckberg et al.	
	US-7,060,021 B1	Jun 2006	Wilk	
	US-7,090,695 B2	Aug 2006	Solem et al.	
	US-7,112,207 B2	Sep 2006	Allen et al.	
	US-7,115,110 B2	Oct 2006	Frazier et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

9

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-7,153,258 B2	Dec 2006	Alfemess et al.	
	US-7,163,507 B2	Jan 2007	Alfemess	
	US-7,166,071 B2	Jan 2007	Alfemess	
	US-7,166,126 B2	Jan 2007	Spence et al.	
	US-7,189,199 B2	Mar 2007	McCarthy et al.	
	US-7,192,442 B2	Mar 2007	Solem et al.	
	US-7,214,181 B2	May 2007	Shapland et al.	
	US-2001/0014800 A1	Aug 2001	Frazier et al.	
	US-2001/0014811 A1	Aug 2001	Hussein	
	US-2001/0018611 A1	Aug 2001	Solem et al.	
	US-2001/0021874 A1	Sep 2001	Carpentier et al.	
	US-2001/0029314 A1	Oct 2001	Alfemess et al.	
	US-2001/0034551 A1	Oct 2001	Cox	
	US-2001/0037123 A1	Nov 2001	Hancock	
	US-2001/0039434 A1	Nov 2001	Frazier et al.	
	US-2001/0039435 A1	Nov 2001	Roue et al.	
	US-2001/0039436 A1	Nov 2001	Frazier et al.	
	US-2001/0041821 A1	Nov 2001	Wilk	
	US-2001/0041914 A1	Nov 2001	Frazier et al.	
	US-2001/0041915 A1	Nov 2001	Roue et al.	
	US-2001/0044568 A1	Nov 2001	Langberg et al.	
	US-2001/0047122 A1	Nov 2001	Vanden Hoek et al.	
	US-2001/0049492 A1	Dec 2001	Frazier et al.	
	US-2002/0007216 A1	Jan 2002	Melvin	
	US-2002/0013571 A1	Jan 2002	Goldfarb et al.	
	US-2002/0016628 A1	Feb 2002	Langberg et al.	
	US-2002/0019580 A1	Feb 2002	Lau et al.	
	US-2002/0022880 A1	Feb 2002	Melvin	
	US-2002/0026092 A1	Feb 2002	Buckberg et al.	
	US-2002/0028981 A1	Mar 2002	Lau et al.	
	US-2002/0032364 A1	Mar 2002	Lau et al.	
	US-2002/0042554 A1	Apr 2002	Alfemess et al.	
	US-2002/0045798 A1	Apr 2002	Lau et al.	
	US-2002/0045799 A1	Apr 2002	Lau et al.	
	US-2002/0045800 A1	Apr 2002	Lau et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

10

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-2002/0052538 A1	May 2002	Lau et al.	
	US-2002/0056461 A1	May 2002	Jayaraman	
	US-2002/0058855 A1	May 2002	Schweich, Jr. et al.	
	US-2002/0065449 A1	May 2002	Wardle	
	US-2002/0065465 A1	May 2002	Panescu et al.	
	US-2002/0077532 A1	Jun 2002	Gannoe et al.	
	US-2002/0091296 A1	Jul 2002	Alfemess	
	US-2002/0103511 A1	Aug 2002	Alfemess et al.	
	US-2002/0111533 A1	Aug 2002	Melvin	
	US-2002/0111636 A1	Aug 2002	Fleischman et al.	
	US-2002/0133055 A1	Sep 2002	Haindl	
	US-2002/0143250 A1	Oct 2002	Panescu et al.	
	US-2002/0151766 A1	Oct 2002	Shapland et al.	
	US-2002/0161275 A1	Oct 2002	Schweich, Jr. et al.	
	US-2002/0169358 A1	Nov 2002	Mortier et al.	
	US-2002/0169359 A1	Nov 2002	McCarthy et al.	
	US-2002/0169360 A1	Nov 2002	Taylor et al.	
	US-2002/0173694 A1	Nov 2002	Mortier et al.	
	US-2003/0004396 A1	Jan 2003	Vanden Hock et al.	
	US-2003/0009081 A1	Jan 2003	Rogers et al.	
	US-2003/0023132 A1	Jan 2003	Melvin et al.	
	US-2003/0028077 A1	Feb 2003	Alfemess et al.	
	US-2003/0032979 A1	Feb 2003	Mortier et al.	
	US-2003/0045771 A1	Mar 2003	Schweich, Jr. et al.	
	US-2003/0045776 A1	Mar 2003	Alfemess et al.	
	US-2003/0050529 A1	Mar 2003	Vidlund et al.	
	US-2003/0065248 A1	Apr 2003	Lau et al.	
	US-2003/0093104 A1	May 2003	Bonner et al.	
	US-2003/0105519 A1	Jun 2003	Fasol et al.	
	US-2003/0149333 A1	Aug 2003	Alfemess	
	US-2003/0153946 A1	Aug 2003	Kimblad	
	US-2003/0158570 A1	Aug 2003	Ferrazzi	
	US-2003/0166992 A1	Sep 2003	Schweich, Jr. et al.	
	US-2003/0171641 A1	Sep 2003	Schweich, Jr. et al.	
	US-2003/0181928 A1	Sep 2003	Vidlund et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

11

of

19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-2003/0191538 A1	Oct 2003	Buckberg et al.	
	US-2003/0199733 A1	Oct 2003	Shapland et al.	
	US-2004/0002719 A1	Jan 2004	Oz et al.	
	US-2004/0003819 A1	Jan 2004	St. Goar et al.	
	US-2004/0024286 A1	Feb 2004	Melvin	
	US-2004/0030382 A1	Feb 2004	St. Goar et al.	
	US-2004/0039442 A1	Feb 2004	St. Goar et al.	
	US-2004/0059181 A1	Mar 2004	Alfemess	
	US-2004/0059182 A1	Mar 2004	Alfemess	
	US-2004/0059187 A1	Mar 2004	Alfemess	
	US-2004/0059188 A1	Mar 2004	Alfemess	
	US-2004/0059189 A1	Mar 2004	Alfemess	
	US-2004/0064014 A1	Apr 2004	Melvin et al.	
	US-2004/0092962 A1	May 2004	Thornton et al.	
	US-2004/0093023 A1	May 2004	Allen et al.	
	US-2004/0102840 A1	May 2004	Solem et al.	
	US-2004/0102678 A1	May 2004	Haindl	
	US-2004/0102679 A1	May 2004	Alfemess et al.	
	US-2004/0111101 A1	Jun 2004	Chin	
	US-2004/0127983 A1	Jul. 2004	Mortier et al.	
	US-2004/0133063 A1	Jul. 2004	McCarthy et al.	
	US-2004/0133069 A1	Jul 2004	Shapland et al.	
	US-2004/0152947 A1	Aug 2004	Schroeder et al.	
	US-2004/0158123 A1	Aug 2004	Reuter	
	US-2004/0167374 A1	Aug 2004	Schweich et al.	
	US-2004/0167539 A1	Aug 2004	Kuehn et al.	
	US-2004/0171907 A1	Sep 2004	Alfemess et al.	
	US-2004/0171908 A1	Sep 2004	Alfemess et al.	
	US-2004/0171909 A1	Sep 2004	Alfemess	
	US-2004/0176840 A1	Sep 2004	Langberg et al.	
	US-2004/0181121 A1	Sep 2004	Alfemess et al.	
	US-2004/0181122 A1	Sep 2004	Alfemess et al.	
	US-2004/0181123 A1	Sep 2004	Alfemess et al.	
	US-2004/0181124 A1	Sep 2004	Alfemess	
	US-2004/0181125 A1	Sep 2004	Alfemess et al.	

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 12 of 19

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F.P. Oropeza
Attorney Docket Number	7528.0010-01000

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS

	US-2004/0181126 A1	Sep 2004	Buckberg et al.	
	US-2004/0186342 A1	Sep 2004	Vanden Hock et al.	
	US-2004/0199183 A1	Oct 2004	Oz et al.	
	US-2004/0210304 A1	Oct 2004	Seguin et al.	
	US-2004/0225300 A1	Nov 2004	Goldfarb et al.	
	US-2004/0267083 A1	Dec 2004	McCarthy et al.	
	US-2005/0004428 A1	Jan 2005	Cox et al.	
	US-2005/0021056 A1	Jan 2005	St. Goar et al.	
	US-2005/0021057 A1	Jan 2005	St. Goar et al.	
	US-2005/0033446 A1	Feb 2005	Deem et al.	
	US-2005/0043792 A1	Feb 2005	Solem et al.	
	US-2005/0075723 A1	Apr 2005	Schroeder et al.	
	US-2005/0085688 A1	Apr 2005	Girard et al.	
	US-2005/0095268 A1	May 2005	Walsh et al.	
	US-2005/0113635 A1	May 2005	Whayne et al.	
	US-2005/0119519 A9	Jun 2005	Girard et al.	
	US-2005/0197528 A1	Sep 2005	Vanden Hoek et al.	
	US-2005/0228217 A1	Oct 2005	Alfemess et al.	
	US-2006/0009842 A1	Jan 2006	Huynh et al.	
	US-2006/0052868 A1	Mar 2006	Mortier et al.	
	US-2006/0064115 A1	Mar 2006	Allen et al.	
	US-2006/0064116 A1	Mar 2006	Allen et al.	
	US-2006/0064118 A1	Mar 2006	Kimblad	
	US-2006/0069430 A1	Mar 2006	Rahdert et al.	
	US-2006/0106456 A1	May 2006	Machold et al.	
	US-2006/0111607 A1	May 2006	Alfemess et al.	
	US-2006/0116756 A1	Jun 2006	Solem et al.	
	US-2006/0116757 A1	Jun 2006	Lashinski et al.	
	US-2006/0149122 A1	Jul 2006	Shapland et al.	
	US-2006/0149123 A1	Jul 2006	Vidlund et al.	
	US-2006/0149368 A1	Jul 2006	Spence	
	US-2006/0155165 A1	Jul 2006	Vanden Hoek et al.	
	US-2006/0161040 A1	Jul 2006	McCarthy et al.	
	US-2006/0195012 A1	Aug 2006	Mortier et al.	
	US-2006/0212114 A1	Sep 2006	Menicanti et al.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Application Number	10/762,513
				Filing Date	January 23, 2004
				First Named Inventor	Richard F. SCHROEDER
				Art Unit	3766
				Examiner Name	F.P. Oropeza
				Attorney Docket Number	7528.0010-01000
Sheet	13	of	19		

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS					
		US-2006/0235265 A1	Oct 2006	Alfemess et al.	
		US-2006/0241340 A1	Oct 2006	Schroeder et al.	
		US-2006/0252984 A1	Nov 2006	Rahdert et al.	
		US-2006/0258900 A1	Nov 2006	Buckberg et al.	
		US-2007/0004962 A1	Jan 2007	Alfemess et al.	
		US-2007/0038293 A1	Feb 2007	St. Goar et al.	
		US-2007/0050020 A1	Mar 2007	Spence	
		US-2007/0055303 A1	Mar 2007	Vidlund et al.	
		US-2007/0100442 A1	May 2007	Solem et al.	

Note: Copies of the U.S. Patent Documents are not Required in IDS filed after October 21, 2004

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		Translation ⁶
		Edie, M.D. et al., "Surgical repair of single ventricle," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 66, No. 3, September 1973, pp. 350-360.		
		McGoon, M.D. et al., "Correction of the univentricular heart having two atrioventricular valves," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 74, No. 2, August 1977, pp.218-226.		
		Lev, M.D., et al., "Single (Primitive) Ventricle," <u>Circulation</u> , Vol. 39, May 1969, pp. 577-591.		
		Westaby with Bosher, "Landmarks in Cardiac Surgery," 1997, pp. 198-199.		
		Shumacker, "Cardiac Aneurysms," <u>The Evolution of Cardiac Surgery</u> , 1992, pp. 159-165.		
		Feldt, M.D., "Current status of the septation procedure for univentricular heart," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 82, No. 1, July 1981, pp. 93-97.		
		Doty, M.D., "Septation of the univentricular heart," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 78, No. 3, September, 1979, pp. 423-430.		
		Carpentier et al., "Myocardial Substitution with a Stimulated Skeletal Muscle: First Successful Clinical Case," Letter to the Editor, page 1267, September 25, 1996.		
		Ianuzzo et al., "Preservation of the Latissimus Dorsi Muscle During Cardiomyoplasty Surgery," <u>J. Card. Surg.</u> , 1996:11:99-108.		
		Ianuzzo et al., "On Preconditioning of Skeletal Muscle: Application to Dynamic Cardiomyoplasty," Invited Commentary, <u>J. Card. Surg.</u> , 1996:11:109-110.		
		Chachques et al., "Latissimus Dorsi Dynamic Cardiomyoplasty," <u>Ann. Thorac. Surg.</u> , 1989:47:600-604.		
		Moreira et al., "Latissimus Dorsi Cardiomyoplasty in the Treatment of Patients with Dilated Cardiomyopathy," Supplement IV <u>Circulation</u> , September 25, 1996, 7 pgs.		
		Lucas et al., "Long-Term Follow-Up (12 to 35 Weeks) After Dynamic Cardiomyoplasty," <u>JACC</u> , Vol. 22, No. 3, September 1993:758-67.		
		Batista et al., "Partial Left Ventriculectomy to Improve Left Ventricular Function in End-Stage Heart Disease," <u>J. Card. Surg.</u> , 1996:11:96-98.		
		"Congestive Heart Failure in the United States: A New Epidemic" Data Fact Sheet, National Heart, Lung, and Blood Institute, National Institutes of Health, December 9, 1996, pp. 1-6.		
		Kormos et al., "Experience with Univentricular Support in Mortally Ill Cardiac Transplant Candidates," <u>Ann. Thorac. Surg.</u> , 1990:49:261-71.		
		Wampler et al., "Treatment of Cardiogenic Shock with the Hemopump Left Ventricular Assist Device," <u>Ann. Thorac. Surg.</u> , 1991:52:506-13.		

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	10762,513	
			Filing Date	January 23, 2004	
			First Named Inventor	Richard F. SCHROEDER	
			Art Unit	3766	
			Examiner Name	F.P. Oropeza	
			Attorney Docket Number	7528.0010-01000	
Sheet	14	of	19		

NON PATENT LITERATURE DOCUMENTS			
		McCarthy et al., "Clinical Experience with the Novacor Ventricular Assist System," <u>J. Thorac. Cardiovasc. Surg.</u> , 1991:102-578-87.	
		Burnett et al., "Improved Survival After Hemopump Insertion in Patients Experiencing Postcardiotomy Cardiogenic Shock During Cardiopulmonary Bypass," From the Section of Transplantation, Division of Cardiovascular Surgery, Texas Heart Institute and St. Luke's Episcopal Hospital, Houston, Texas, dated even with or prior to January 2, 1997, pp. 626-628.	
		Phillips et al., "Hemopump Support for the Failing Heart," From the Department of Cardiovascular Medicine and Surgery, Mercy Hospital Medical Center, Des Moines, Iowa, date even with or prior to January 2, 1997, pp. 629-631.	
		Deeb et al., "Clinical Experience with the Nimbus Pump," From the University of Michigan Medical Center Section of Thoracic Surgery and Division of Cardiology, Ann Arbor, Michigan, date even with or prior to January 2, 1997, pp. 632-636.	
		Beamson et al., "Development of a Prototype Magnetically Suspended Rotor Ventricular Assist Device," <u>ASAIO Journal</u> , 1996, pp. 275-280.	
		Sakakibara et al., "A Muscle Powered Cardiac Assist Device for Right Ventricular Support: Total Assist or Partial Assist?," <u>Trans. Am.Soc. Artif. Intern. Organs</u> , Vol. XXXVI, 1990, pp. 372-375.	
		Medtronic, Inc. 1996 Annual Shareholders Report, 79 pages.	
		ABIOMED, Inc. Annual Report 1996, 32 pages.	
		Press Release dated September 16, 1996, "ABIOMED Wins \$8.5 Million Federal Contract to Qualify its Artificial Heart for Human Trials," 5 pages.	
		Press Release dated September 26, 1996, ABIOMED's Temporary Artificial Heart System Reaches 200 U.S. Medical Center Milestone," 1 page.	
		Press Release dated May 17, 1996, "ABIOMED Receives FDA Approval to Expand Indications for Use of Cardiac Assist System," 1 page.	
		Press Release dated October 3, 1995, "ABIOMED Wins \$4.35 Million Contract from the National Heart, Lung and Blood Institutes to Develop Implantable Heart Booster," 1 page.	
		Press Release dated September 29, 1995, "ABIOMED" Wins NIH Grant to Develop Calcification-Resistant Plastic Heart Valve," 1 page.	
		Press Release dated August 25, 1995, "ABIOMED Wins Research Grant from NIH to Develop Suturing Instrument for Abdominal surgery," 1 page.	
		Press Release dated August 11, 1995, "ABIOMED Receives Grant from NIH to Develop Disposable Bearingless Centrifugal Blood Pump," 1 page.	
		Press Release dated June 9, 1995, "ABIOMED Receives Grant from National Institutes of Health to Develop a Laser Welding Technique for Tissue Repair," 1 page.	
		Press Release dated April 27, 1995, "ABIOMED's Temporary Artificial Heart System Reaches 1,000 Patient Milestone; BVS-5000 in More Than 100 U.S. Medical Centers," 1 page.	
		"Reversible Cardiomyopathy," <u>Thoratec's Heartbeat</u> , Volume 10.2, August 1996, 4 pages.	
		Tsai et al., "Surface Modifying Additives for Improved Device-Blood Compatibility," <u>ASAIO Journal</u> , 1994, pp. 619-624.	
		Farrar et al., "A New Skeletal Muscle Linear-Pull Energy Convertor as a Power Source for Prosthetic Support Devices," <u>The Journal of Heart & Lung Transplantation</u> , Vol. 11, No. 5, September 1992, pp. 341-349.	
		Brochure entitled "Thoratec Ventricular Assist Device System--Because Heart Patients Come in All Sizes," date even with or prior to January 2, 1997, 5 pages.	
		Press Release dated October 3, 1994, "Heartmate System Becomes First Implantable Cardiac-Assist Device to be Approved for Commercial Sale in the U.S.," 2 pages.	
		Bocchi et al., "Clinical Outcome after Surgical Remodeling of Left Ventricle in Candidates to Heart Transplantation with Idiopathic Dilated Cardiomyopathy--Short Term Results," date even with or prior to January 2, 1997, 1 page.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	10/762,513	
			Filing Date	January 23, 2004	
			First Named Inventor	Richard F. SCHROEDER	
			Art Unit	3766	
			Examiner Name	F.P. Oropeza	
			Attorney Docket Number	7528.0010-01000	
Sheet	15	of	19		

NON PATENT LITERATURE DOCUMENTS			
		Bach et al., "Early Improvement in Congestive Heart Failure after Correction of Secondary Mitral Regurgitation in End-Stage Cardiomyopathy," <u>American Heart Journal</u> , June 1995, pp. 1165-1170.	
		Schuler et al., "Temporal Response of Left Ventricular Performance to Mitral Valve Surgery," Vol. 59, No. 6, June 1979, pp. 1218-1231.	
		Huikuri, "Effect of Mitral Valve Replacement on Left Ventricular Function in Mitral Regurgitation," <u>Br. Heart J.</u> , Vol. 49, 1983, pp. 328-333.	
		Pitavys II et al., "Long-Term Effects of Excision of the Mitral Apparatus on Global and Regional Ventricular Function in Humans," <u>JACC</u> , Vol. 15, No. 3, March 1, 1990, pp. 557-563.	
		Bolling et al., "Surgery for Acquired Heart Disease/Early Outcome of Mitral Valve Reconstruction in Patients with End-Stage Cardiomyopathy," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 109, No. 4, April 1995, pp. 676-683.	
		Masahiro et al., "Surgery for Acquired Heart Disease/Effects of Preserving Mitral Apparatus on Ventricular Systolic Function in Mitral Valve Operations in Dogs," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 106, No. 6, December 1993, pp. 1138-1146.	
		Dickstein et al., "Heart Reduction Surgery: An Analysis of the Impact on Cardiac Function," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 113, No. 6, June 1997, 9 pages.	
		McCarthy et al., "Early Results with Partial Left Ventriculectomy," From the Departments of Thoracic and Cardiovascular Surgery, Cardiology, and Transplant Center, Cleveland Clinic Foundation, Presented at the 77 th Annual Meeting of the American Association of Thoracic Surgeons, May 1997, 33 pages.	
		Alonso-Lej, M.D., "Adjustable Annuloplasty for Tricuspid Insufficiency," <u>The Annals of Thoracic Surgery</u> , Vol. 46, No. 3, September 1988, 2 pages.	
		Kurlansky et al., "Adjustable Annuloplasty for Tricuspid Insufficiency," <u>Ann. Thorac. Surg.</u> , 44:404-406, October 1987.	
		Savage, M.D., "Repair of left ventricular aneurysm," <u>The Journal of Thoracic and Cardiovascular Surgery</u> , Vol. 104, No. 3, September 1992, pp. 752-762.	
		Melvin, "Ventricular Radius Reduction Without Resection: A Computational Analysis," <u>ASAIO Journal</u> , 45:160-165, 1999.	
		Cox, "Left Ventricular Aneurysms: Pathophysiologic Observations and Standard Resection," <u>Seminars in Thoracic and Cardiovascular Surgery</u> , Vol. 9, No. 2, April 1997, pp. 113-122.	
		Boyd et al., "Tricuspid Annuloplasty," <u>The Journal of Thoracic Cardiovascular Surgery</u> , Vol. 68, No. 3, September 1974, 8 pages.	
		Melvin, "Reduction of Ventricular Wall Tensile Stress by Geometric Remodeling Device", 1 page, undated.	
		Kay et al., "Surgical Treatment of Mitral Insufficiency", <u>The Journal of Thoracic Surgery</u> , 1955, 29:618-620.	
		Harken et al., "The Surgical Correction of Mitral Insufficiency", <u>The Journal of Thoracic Surgery</u> , 1954, 28:604-627.	
		Bailey et al., "Closed Intracardiac Tactile Surgery", <u>Diseases of the Chest</u> , 1952, XXII:1-24.	
		Sakakibara, "A Surgical Approach to the Correction of Mitral Insufficiency", <u>Annals of Surgery</u> , 1955, 142:196-203.	
		Glenn et al., "The Surgical Treatment of Mitral Insufficiency: The Fate of A Vascularized Transchamber Intracardiac Graft", <u>Annals of Surgery</u> , 1955, 141:4:510-518.	
		Kay et al., "Surgical Treatment of Mitral Insufficiency", <u>Surgery</u> , 1955, 37:5:697-706.	
		Bailey et al., "The Surgical Correction of Mitral Insufficiency By The Use of Pericardial Grafts", <u>The Journal of Thoracic Surgery</u> , 1954, 28:6:551-603.	
		Harken et al., "The Surgical Correction of Mitral Insufficiency", <u>Surgical Forum</u> , 1953, 4:4-7.	
		Shumacker, Jr., "Attempts to Control Mitral Regurgitation", <u>The Evolution of Cardiac Surgery</u> , 1992, 203-210.	
		acorn cardiovascular, inc., "Acorn Cardiovascular Summary", undated.	

IDS Form PTO/SB/08: Substitute for form 1449A/PTO			Complete if Known		
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Application Number	10/762,513	
			Filing Date	January 23, 2004	
			First Named Inventor	Richard F. SCHROEDER	
			Art Unit	3766	
			Examiner Name	F.P. Oropeza	
			Attorney Docket Number	7528.0010-01000	
Sheet	16	of	19		

NON PATENT LITERATURE DOCUMENTS			
		acorn cardiovascular, inc., "Acorn Cardiovascular Company Overview", undated.	
		Batista, MD et al., "Partial Left Ventriculectomy to Treat End-Stage Heart Disease", <u>Ann. Thorac. Surg.</u> , 64:634-8, 1997.	
		Melvin DB et al., "Reduction of Ventricular Wall Tensile Stress by Geometric Remodeling Device, <u>Poster text, ASAIQ</u> 1999.	
		Hayden et al., "Scintiphotographic Studies of Acquired Cardiovascular Disease," <u>Seminars in Nuclear Medicine</u> , Vol III, No. 2, April 1973, pages 177-190.	
		McCarthy, Transcription of March 13, 2000 presentation given at ACC.	
		acorn cardiovascular, inc., "Acorn Cardiovascular Abstracts", November 13, 2000.	
		Nation's First "Heart Jacket" Surgery to Treat Heart Failure Performed at HUP: Novel "Cardiac Support Device" Comes to America After Promising Results in Europe", June 26, 2000.	
		acorn cardiovascular, inc., Acorn Cardiovascular Company Overview, undated, 1 page.	
		acorn cardiovascular, inc., Acorn Cardiovascular Company Overview, June 2000.	
		acorn cardiovascular, inc., Acorn Cardiovascular Business Plan, May 2000	
		acorn cardiovascular, inc., "Acorn Cardiovascular Highlights Abstracts", March 10, 1999.	
		acorn cardiovascular, inc., "Acorn Cardiovascular Highlights Abstracts", April 19, 1999.	
		acorn cardiovascular, inc., "Acorn Cardiovascular Highlights Abstracts", October 1, 1999.	
		acorn cardiovascular, inc., "Acorn Cardiovascular Highlights Abstracts", November 9, 1999.	
		Melvin DB, "Ventricular Radius-Reduction Without Resection A Computational Assessment", undated.	
		Timek, Thomasz A., MD, et al, The Journal of Thoracic Surgery, Volume 123, Number 5 Surgery for Acquired Cardiovascular Disease, <i>Septal-lateral annular cinching abolishes acute ischemic mitral regurgitation.</i>	
		Timek, Thomasz A. et al, Department of Cardiothoracic Surgery and Division of Cardiovascular Medicine, Stanford University School of Medicine, Stanford, CA, <i>Septal-Lateral Annular Cinching ('SLAC') reduces Mitral Annular Size without Perturbing Normal Annular Dynamics</i> , 2002.	
		Hung, Judy MD et al., <i>Reverse Ventricular Remodeling Reduces Ischemic Mitral Regurgitation: Echo-Guided Device Application in the Beating Hear</i> , Circulation, www.circulationaha.org , November 12, 2002.	
		Baim, Donald S., MD, Brigham and Women's Hospital, Harvard Medical School, <i>Percutaneous Treatment of Mitral Regurgitation</i> , 2005.	
		Dullum, Mercedes K.C., <i>Update on Restraint Devices for Congestive Heart Failure</i> , Abstract and copy of presentation slides given at Tech-Con 2005 for Society of Thoracic Surgeons, January 23, 2005, 11 pages.	
		"Heart 'jacket' could help stop heart failure progress," <u>Clinica</u> , July 10, 2000.	
		McCarthy et al., "Device Based Left Ventricular Shape Change Immediately Reduces Left Ventricular Volume and Increases Ejection Fraction in a Pacing Induced Cardiomyopathy Model in Dogs: A Pilot Study," JACC, February 2000.	
		ALONSO-LEJ, <i>The Journal of Thoracic and Cardiovascular Surgery</i> , Vol. 68, No. 3, September 1974, p. 349.	
Examiner Signature			Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/762,513
Filing Date	January 23, 2004
First Named Inventor	Richard F. SCHROEDER
Art Unit	3766
Examiner Name	F. P. Oropeza
Attorney Docket Number	7528.0010-01000

Sheet 17 of 19

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation ⁴
		Country Code ¹ Number ² Kind Code ³ (if known)				
		DE 198 26 675 A1	Mar 1999	Haindl		Abstract
		DE 199 47 885 A1	Apr 2000	Morejohn		Abstract
		DE 296 19 294 U1	Aug 1997	Caic		Abstract
		DE 298 24 017 U1	Jun 1998	Haindl		Abstract
		DE 36 14 292 C1	Nov 1987	Bernhard et al.		Abstract
		DE 42 34 127 A1	May 1994	Vetter		Abstract
		EP 0 583 012 A1	Feb 1994	Heilman et al.		
		EP 0 792 621 A1	Sept 1997	Uwaydah		
		EP 0 820 729 A1	Jan 1998	Engelson et al.		
		EP 1 129 736 A1	Sep 2001	Landesberg		
		WO 91/19465 A1	Dec 1991	Frater		
		WO 95/06447 A1	Mar 1995	O'Connor		
		WO 95/16407 A1	Jun 1995	Reimold et al.		
		WO 95/16476 A1	Jun 1995	Stevens		
		WO 96/02197 A1	Feb 1996	Sadek		
		WO 96/04852 A1	Feb 1996	Northrup III		
		WO 96/40356 A1	Dec 1996	Whayne et al.		
		WO 97/14286 A2	Apr 1997	Kazi et al.		Abstract
		WO 97/24082 A1	Jul 1997	Cox		
		WO 97/24083 A1	Jul 1997	Cox		
		WO 97/24101 A1	Jul 1997	Melvin		
		WO 97/41779 A1	Nov 1997	Solymar		
		WO 98/03213 A1	Jan 1998	Stevens et al.		
		WO 98/14136 A1	Apr 1998	Alferness		
		WO 98/17347 A1	Apr 1998	Tsitlik et al.		
		WO 98/18393 A1	May 1998	Laufer		
		WO 98/26738 A1	Jun 1998	Laufer		
		WO 98/29041 A1	Jul 1998	Schweich, Jr. et al.		
		WO 98/32382 A1	Jul 1998	Laufer		
		WO 98/44969 A1	Oct 1998	Tsitlik et al.		
		WO 98/58598 A1	Jun 1995	Haindl		Abstract
		WO 99/00059 A1	Jan 1999	Mehmet et al.		
		WO 99/11201 A2	Mar 1999	Fasol et al.		

IDS Form PTO/SB/08: Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/762,513
				Filing Date	January 23, 2004
				First Named Inventor	Richard F. SCHROEDER
				Art Unit	3766
				Examiner Name	F. P. Oropeza
Sheet	18	of	19	Attorney Docket Number	7528.0010-01000

FOREIGN PATENT DOCUMENTS						
		WO 99/13777 A1	Mar 1999	Seguin		
		WO 99/16350 A1	Apr 1999	Panescu et al.		
		WO 99/22784 A1	May 1999	Howansky et al.		
		WO 99/30647 A1	Jun 1999	Mortier et al.		
		WO 99/44534 A1	Sep 1999	Melvin		
		WO 99/44680 A1	Sep 1999	Rosenberg		
		WO 99/44969 A1	Oct 1998	Tsitlik et al.		Abstract
		WO 99/52470 A1	Oct 1999	Snyders		
		WO 99/53977 A1	Oct 1999	Talpade		
		WO 99/56655 A1	Nov 1999	Buckberg et al.		
		WO 99/66969 A1	Dec 1999	Michelman et al.		
		WO 00/02500 A1	Jan 2000	Alferness et al.		
		WO 00/03759 A2	Jan 2000	Kuehn et al.		
		WO 00/06026 A2	Feb 2000	Schweich, Jr. et al.		
		WO 00/06028 A1	Feb 2000	Mortier et al.		
		WO 00/13722 A1	Mar 2000	Hastings et al.		
		WO 00/18320 A1	Apr 2000	Melvin		
		WO 00/25842 A1	May 2000	Easterbrook et al.		
		WO 00/25853 A2	May 2000	Reinhardt et al.		
		WO 00/27304 A1	May 2000	Ory et al.		Abstract
		WO 00/28912 A1	May 2000	Alferness et al.		
		WO 00/28918 A1	May 2000	Alferness et al.		
		WO 00/36995 A2	Jun 2000	Wardle		
		WO 00/42919 A1	Jul 2000	Buckberg et al.		
		WO 00/42950 A2	Jul 2000	Carpentier et al.		
		WO 00/42951 A1	Jul 2000	Stobie		
		WO 00/45735 A1	Aug 2000	Nauertz et al.		
		WO 00/60995 A2	Oct 2000	Deem et al.		
		WO 00/61033 A1	Oct 2000	LeCalve		
		WO 00/62715 A1	Oct 2000	Carpentier et al.		
		WO 00/62727 A1	Oct 2000	Laufer et al.		
		WO 01/00111 A1	Jan 2001	Solem et al.		
		WO 01/03608 A1	Jan 2001	Alferness		
		WO 01/19291 A1	Mar 2001	Rhee		
		WO 01/19292 A1	Mar 2001	Cox et al.		
		WO 01/21070 A1	Mar 2001	Krueger		

IDS Form PTO/SB/08: Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>			Complete if Known		
			Application Number	10/762,513	
			Filing Date	January 23, 2004	
			First Named Inventor	Richard F. SCHROEDER	
			Art Unit	3766	
			Examiner Name	F. P. Oropeza	
Sheet	19	of	19	Attorney Docket Number	7528.0010-01000

FOREIGN PATENT DOCUMENTS						
		WO 01/21098 A1	Mar 2001	Krueger		
		WO 01/21099 A1	Mar 2001	Girard		
		WO 01/21247 A1	Mar 2001	Frazier et al.		
		WO 01/26557 A1	Apr 2001	Grimes		
		WO 01/28432 A1	Apr 2001	Allen et al.		
		WO 01/49217 A2	Jul 2001	Peredo et al.		
		WO 01/50981 A1	Jul 2001	Vanden Hoek et al.		
		WO 01/54562 A2	Mar 2001	Gannoe et al.		
		WO 01/54618 A1	Aug 2001	Langberg et al.		
		WO 01/54745 A2	Aug 2001	Helmus et al.		
		WO 01/67985 A1	Sep 2001	Lau et al.		
		WO 01/70116 A1	Sep 2001	Vidlund et al.		
		WO 01/78625 A1	Oct 2001	Ferrazzi		
		WO 01/85061 A2	Nov 2001	Shapland et al.		
		WO 01/91667 A2	Dec 2001	Melvin et al.		
		WO 01/95830 A2	Dec 2001	Alferness et al.		
		WO 01/95831 A2	Dec 2001	Cox et al.		
		WO 01/95832 A1	Mar 2001	Walsh et al.		
		WO 02/11625 A2	Feb 2002	LaFontaine		
		WO 02/13726 A2	Feb 2002	Shapland et al.		
		WO 02/19917 A1	Mar 2002	Whayne et al.		
		WO 02/28450 A2	Apr 2002	Ortiz		
		WO 02/30292 A1	Apr 2002	Schroeder et al.		
		WO 02/30335 A2	Apr 2002	Vidlund et al.		
Examiner Signature				Date Considered		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.